



COMDTINST M12451.1B

23 JUL 1992

COMMANDANT INSTRUCTION M12451.1B

Subj: Coast Guard Civilian Awards Manual

Ref: (a) Federal Personnel Manual (FPM) Chapter 451,
Incentive Awards (NOTAL)
(b) Departmental Personnel Manual (DPM) Chapter 451
(NOTAL)
(c) Coast Guard Beneficial Suggestion Program
Manual, COMDTINST M5305.4 (Series)

1. PURPOSE. This Instruction establishes policy, responsibilities, and procedures for granting monetary and honorary awards to Coast Guard civilian employees in accordance with the provisions of references (a) and (b).
2. DIRECTIVES AFFECTED. COMDTINST M12451.1A is cancelled.
3. EFFECTIVE DATE. Provisions of this Instruction are effective upon receipt.
4. ACTION. Area and district commanders, commanders of maintenance and logistics commands, unit commanding officers, Commander Activities Europe, and chiefs of offices and special staff divisions in Headquarters shall ensure that the provisions of this Instruction are brought to the attention of all civilian employees and supervisors of civilian employees.

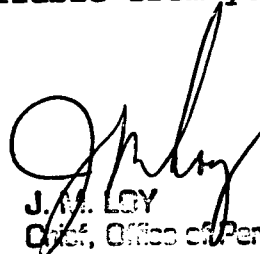
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5. FORMS AVAILABILITY. DOT F3200.2, Recommendation for Secretarial Award, and Form CG-5514, Commander's Award for Civilian Service, are available from your servicing civilian personnel offices.


J. M. LOY
Chief, Office of Personnel
and Training

Encl: (1) OPM Form 1465, Incentive Awards Program Annual Report
(2) Cash Awards Scale for Tangible Benefits
(3) Cash Awards Scale for Intangible Benefits

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CHAPTER 1. EXPENDITURE OF APPROPRIATED FUNDS

- A. Introduction. One of the more pleasant supervisory tasks is to reward employees for exceptional performance. Supervisors have a normal and healthy self-interest in building and maintaining a highly motivated and productive work force. Public recognition for superior performance helps build morale and improve productivity as employees learn that new ideas are welcome and high quality performance is rewarded.
- B. Purpose. The incentive awards program motivates employees to increase productivity and creativity by rewarding employee job performance and ideas which benefit the government, and which are substantially above normal job requirements. This manual implements the Department of Transportation (DOT) Personnel Manual (DPM) Chapter 451, Incentive Awards, as well as the Federal Personnel Manual (FPM) Chapter 451, and Chapter 45 of Title 5, U.S.C., which is the legal basis for the Federal Incentive Awards Program.
- C. Policy. It is the policy of the Commandant to:
1. Motivate all employees of the Coast Guard to increase their creativity and productivity through recognition of exceptional job performance, commitment to customer satisfaction, continuous quality improvement and cost saving ideas which benefit the economy of the Coast Guard, Department, or Federal Government.
 2. Recognize and reward individuals and groups appropriately on the basis of merit for special acts or services, inventions, or other personal contributions that are significant and which substantially exceed normal job standards and expectations.
 3. Assure that incentive awards under this Instruction are used only for their intended purpose--to recognize and reward an employee, or group of employees, for contributions which benefit the Coast Guard and are above or beyond normal job requirements.
- D. Types of Awards. There are a variety of awards, many of which are appropriate to specific situations, from a letter of appreciation to a cash or honorary award. The decision on which award to recommend depends on the kind of accomplishment, as well as its magnitude and duration. Supervisors and managers should consider the awards program a flexible system and one which can be adapted to meet management needs.

1.E. Coverage.

1. The provisions of this Instruction apply to Coast Guard civilian employees paid from appropriated funds. Awards and recognition for Non-appropriated Fund Activities (NAFA) employees are covered in COMDTINST M7010.5 series (enclosure (53)).
2. Instructions on awards and recognition for members of the Senior Executive Service (SES) are contained in COMDTINST M12305 series.
3. Commandant policy and guidance on awards for suggestions, inventions, and scientific achievements are contained in COMDTINST M5305.4 series, Coast Guard Suggestion Manual.
4. Military members are not eligible for cash awards under the provisions of this instruction. They are, however, eligible for certain Departmental honorary awards as discussed in Chapter Three of this Instruction.

F. Authority for Expenditure of Appropriated Funds.

1. Under provisions of Title 5 United States Code (U.S.C.) 4503 and 5 U.S.C. 5403, the Commandant may pay cash awards to, and incur necessary expenses for, the honorary recognition of employees who, by their suggestion, invention, superior accomplishment, or other personal effort contribute to the efficiency, economy, or other improvement of government operations; or who perform special acts or services in the public interest in connection with or related to their official employment.
2. This authority covers payment of a cash award. It also covers expenses for honorary awards (plaques certificates, medals, pins, etc.) and travel costs for award recipients. Invitational travel orders may be authorized for one individual related by blood or affinity (equivalent of a family relationship) at the recipient's choosing to attend a major award ceremony (e.g., Secretary's Annual Awards Ceremony). Travel expenses for an individual to assist a handicapped award recipient may also be paid.

- G. Grievances. Since incentive awards are discretionary actions, there are no grievance rights for the granting of or failure to grant awards under this manual. Supervisors nominating employees for awards may discuss negative

1.G. (cont'd) determinations of reviewing or approving officials through normal administrative channels.

H. Confidentiality. Nominating supervisors, reviewing officials and approving officials must not discuss award nominations with nominees until the award has been approved. Award nominations and supporting documentation should be considered privileged information, and should be made available only to those with a need to know. Failure to observe this rule may result in embarrassment to the nominee, to management, or to both.

I. Annual Incentive Awards Report. Part A of the Office of Personnel Management (OPM), Incentive Awards Program Annual Report (OPM Form 1465), copy at enclosure (1), shall be prepared by civilian personnel offices and submitted to Commandant (G-PC) annually no later than 20 October.

J. Summer, Stay-In-School, and Co-op Employees. Employees employed in these positions are eligible for official letters of commendation, letters of appreciation, and honorary or cash Special Act or Service Awards.



CHAPTER 2. RESPONSIBILITIES

- A. Managers and Supervisors are responsible for the day-to-day implementation of the program in their organizations and for actively supporting and participating in the program through:
1. Use of incentive awards as an integral element of supervision and management;
 2. Promptly acting on award recommendations;
 3. Ensuring that employees have an equal opportunity to earn awards;
 4. Considering relevant awards earned when evaluating employees for selection/promotion;
 5. Justifying award nominations in writing;
 6. Assuring that funds are available to pay for awards;
 7. Assuring that all awards are presented to the recipient by managers or supervisors, as appropriate to the level of the award to be received; and
 8. Conducting periodic management reviews to discuss program areas showing superior results in terms of quality, quantity, timeliness, and/or cost savings, and identifying individuals and groups who produced those superior results and should thus receive incentive awards recognition.
- B. Civilian Personnel Officers are responsible for providing positive leadership and administration of the Incentive Awards Program. This includes:
1. Being aware of all available forms of recognition and advising managers and supervisors on proper use of each type;
 2. Developing and recommending program policies, goals, and objectives;
 3. Providing employees and supervisors with orientation and training on the program;
 4. Reviewing award nominations for compliance with

2.B.4. (cont'd) appropriate laws and regulations including those submitted to Commandant (G-PC). Award nominations which do not comply with regulations and procedures shall be returned to the nominating official; and

5. Maintaining statistics on the program and making reports to Commandant (G-PC), Office of Personnel Management, and other appropriate agencies on incentive award matters.

C. Incentive Award Coordinators, when feasible, shall be designated in each command employing civilian employees with the responsibility to serve as the unit's incentive awards point-of-contact (collateral duty). It is generally administratively convenient when this individual is a member of the command's servicing civilian personnel office. Awards coordinators may:

1. Serve as executive secretary to the local awards review boards, assuring adequacy of award nominations, continuity of board activities, etc;
2. Develop, implement, and monitor local policies, procedures, and program operations;
3. Coordinate program objectives, activities, and publicity;
4. Assist in program evaluation;
5. Maintain program data and records, preparing and submitting reports, etc;
6. Arrange award payment and presentation ceremonies as appropriate.

CHAPTER 3. DEPARTMENTAL HONORARY AWARDS

A. Introduction. This Chapter describes the criteria and nomination procedures for honorary awards available to Coast Guard employees through the Department of Transportation (DOT). Coast Guard managers and supervisors are expected to weigh carefully all individual achievements considered deserving of performance recognition and to recommend the employee(s) for the highest level award deemed appropriate, consistent with the award's criteria. While an employee shall be recommended for only one DOT award for a single achievement, in instances when the recommended award is not approved, the employee should be considered for the next successively lower-level award. An employee may be nominated for an honorary award in addition to a cash award.

1. Secretary's Award for Outstanding Achievement (Gold Medal).

- a. Award Summary. This is the highest DOT honorary award granted to civilian employees, and is given at the Secretary's discretion. The Commandant does not nominate individuals for this award. The Secretary personally selects the gold medal awardee (usually only one per year) from those nominated for Meritorious Achievement (see next paragraph).
- b. Criteria. Outstanding leadership and distinguished contributions of major significance.
- c. Awardee Receives. A gold medal, lapel rosette, and engraved plaque.

2. Secretary's Award for Meritorious Achievement (Silver Medal).

- a. Award Summary. Second highest level award within the Department for civilian employees and the highest level award for which the Commandant is authorized to submit nominations.
- b. Criteria. Civilians (and military members while assigned to other DOT Administrations) with contributions of unusual value to the Department such as:
 - (1) Accomplishment of duties in such an outstanding manner as to be clearly exceptional among all those who have performed similar duties;

- 3.2.b. (2) Development and improvement of methods and procedures which have accomplished extraordinary results for the Department;
- (3) Eminent authorship;
- (4) A valuable contribution to science or technology with national or international scope;
- (5) Exceptional, outstanding leadership which resulted in the highly successful accomplishment of Departmental missions, the major redirection of objectives or accomplishments to meet unique or emergency situations; and
- (6) Contributions to the Department's Equal Employment Opportunity (EEO) Program of an outstanding and distinctive character.
- c. Awardee Receives. A silver medal, lapel rosette, and engraved plaque.

3. Dwight D. Eisenhower Award.

- a. Award Summary. This award will recognize DOT line employees and will carry the same stature and visibility as the Secretary's Gold Medal.
- b. Criteria. First-line civilian supervisors or non-supervisors, and non-managerial members whose exemplary work, dedication, productivity, attitude, and enthusiasm serve as a model for others within DOT. Group award nominations may be submitted when all members have contributed equally to an outstanding achievement.
- c. Awardee Receives. A free-standing engraved bust of President Dwight D. Eisenhower plus a monetary stipend.

4. Secretary's Award for Valor.

- a. Award Summary. Highest Departmental award for acts of heroism or courage involving great personal risk under unusual circumstances.
- b. Criteria. Civilians are eligible for actions on or off duty which demonstrated outstanding courage and voluntary risk of personal safety in the face of danger in an emergency.

3.4.c. Awardee Receives. A medal, lapel rosette, and engraved plaque.

5. Secretary's Award for Achievement in Work Force Diversity.

- a. Award Summary. Highest level of honor and recognition to those employees who have excelled in their efforts to promote work force diversity while serving in positions that are not primarily EEO related. The award demonstrates the value which top level management places upon employees, supervisors, and managers who actively participate in Work Force Diversity and EEO activities.
- b. Criteria. All civilian employees and military members are eligible except those whose primary job responsibility is EEO. Employees with primary job responsibility in EEO should be considered for a Special Act or Service Award, if appropriate, in accordance with Chapter Six of this instruction.
- c. Awardee Receives. An embossed plaque.

6. Secretary's Award for Excellence.

- a. Award Summary. Designed for high-achieving career civilian employees who are in lower grades.
- b. Criteria. Civilian clerical, administrative, technical, and general support employees in positions at grades GS-1 through GS-9, wage grades WG-1 through WG-8, or equivalent. Nominations must be based on outstanding achievement of all major duties. All aspects of performance must far exceed normal requirements, and deserve special commendation.
- c. Note. An employee need not have received an outstanding performance rating during the last rating period to be nominated for this award, providing the employee is performing at the level to earn such a rating at the time of the nomination.
- d. Awardee Receives. An engraved plaque and a \$200 savings bond.

7. Secretary's Award for Volunteer Service and the Secretary's Award for Community Service.

- a. Award Summary. These awards represent the Department's high level of interest in recognizing volunteer service.

3.7.a. (cont'd) Employees at all grades and organizational levels are eligible for consideration. The Volunteer Service Award will be presented to the employee who has made significant contributions through any of the volunteer programs for which the Department provides support or sponsorship. The Community Service Award will be presented to an employee who has made significant contributions to the local community or the community at large through sustained commitment and involvement as a volunteer.

b. Criteria. The criteria for selecting the award nominees, including military members, should include length of volunteer service, number of hours per week, month or year, innovation or initiative in improving conditions of the organization being served, type of service rendered, and benefits to the community.

c. Awardee Receives. An engraved plaque.

8. Program Emphasis Awards.

a. Award Summary. From time to time, the Secretary establishes a special category of award to emphasize a particular Departmental initiative or program and uses the DOT honorary awards program as a vehicle to solicit nominations. In recent years, these have included the Secretary's Award for Cost Avoidance, Reduction, and Efficiency (CARE), the Volunteer Service and the Community Service Award.

b. Criteria. Criteria vary with the program to be emphasized. Specific nomination requirements are published at the time nominations for the DOT honorary awards ceremony are solicited.

c. Awardee Receives. Usually a plaque or certificate.

B. Nomination Procedures.

1. Commandant (G-P) solicits nominations for the annual Secretary's awards ceremony (usually in March) via COMDTNOTE. Departmental awards may be submitted at other times but will be held for processing for the next ceremony.

2. Nominations must be made using DOT F 3200.2 which is available in the servicing civilian personnel offices.

- 3.B.3. Nominations shall be submitted to Commandant (G-PC), through the chain of command and via the servicing civilian personnel offices.

C. Review and Approval.

1. All nominations are reviewed and prioritized by an ad hoc Coast Guard panel which makes recommendations to the Commandant.
2. The Commandant forwards the nominations to a Departmental awards review board which makes final recommendations to the Secretary.
3. Those nominations not approved may be considered for local recognition if appropriate.

- D. Multiple Awards. An employee may not be nominated for both a Commandant's Superior Achievement Award and a Departmental honorary award for the same achievement. An employee may receive more than one honorary award while serving in the same position if performance in that position is considered sufficiently meritorious on more than one occasion.

- E. Secretary's Annual Awards Ceremony. The Secretary's Annual Awards Ceremony is held in the fall of each year (generally October) in Washington, DC. It is a showcase of the Departmental activities that have merited high-level recognition during the past year. Employees who attend the ceremony are considered to be in a duty status and all recipients are encouraged to attend the ceremony if possible. Recipients from field units shall be authorized appropriate travel and per diem expenses.



CHAPTER 4. COAST GUARD HONORARY AWARDS

A. Introduction. The Commandant is authorized to approve a number of high-level honorary awards under the Departmental awards program all of which are equal in stature but appropriate at different points in a employee's career. In addition, commanding officers may also grant honorary awards to employees who have demonstrated leadership, initiative, outstanding performance, courage, and patterns of excellence based on acts of performance over shorter periods of time or sustained superior performance during longer periods of service including retirement.

B. Commandant's Superior Achievement Award (Bronze Medal).

1. Award Summary. Highest level civilian award within Coast Guard in recognition of exceptional achievements during a civilian employee's career. This award is not intended for use as a retirement honor for long and faithful service, nor is it appropriate as a first-time award or for outstanding achievements during the past year only. Employees being considered for nomination must have made significant contributions over a period of years and must have previously received at least two of the following: Outstanding Performance Rating; Quality Step Increase; Special Act or Service Award; any of the DOT or Coast Guard honorary awards; or Coast Guard nominee for any of the governmental or external awards listed in this instruction. Nominations shall be based on one or more of the following:

- a. Performance of duties in such an exemplary manner as to set a record of achievement that others are inspired to greater efforts;
- b. Demonstration of unusual skills or initiative and continuous quality improvements in the development of new work methods or procedures, or the conception of inventions which will result in substantial savings in staff, time, space, materials, etc., or the improved safety and health of the work force;
- c. Notable authorship;
- d. Exceptional achievements which substantially contributes to accomplishment of the Coast Guard mission; or

4.B.1. e. Significant achievements in support of the Coast Guard's equal employment opportunity programs which serve as inspiration to others.

2. Awardee Receives. A bronze medal, lapel rosette, and engraved plaque.

3. Nomination Procedures. Area and district commanders, commanders of maintenance and logistics commands, commanding officers of headquarters units, and Chief of Staff, office chiefs and special staff divisions in Headquarters should submit nominations at any time to Commandant (G-PC), via the servicing civilian personnel office that would include the followings:

- a. Nominee's name, title, series, and grade of current position;
- b. Brief statement of current duties;
- c. Brief biographical sketch (primarily history);
- d. A listing of significant honors and awards received;
- e. A proposed citation (not longer than 25 words) for use in the awards presentation and engraved inscription on the award plaque; and
- f. A detailed description of achievement or service (no more than two pages) showing clearly how the criteria for the award have been met.

4. Review. Nominations received by Commandant (G-PC) are reviewed for procedural compliance and adequacy of documentation and forwarded to the Commandant (G-PC) for final approval. Since approval takes approximately 30 days following receipt by Commandant (G-PC), sufficient lead time should be provided. Approved awards are forwarded to the awardee's servicing civilian personnel officer unless other arrangements are requested.

C. Commandant's Distinguished Career Service Award.

1. Award Summary. Highest level award granted to a very select group of employees at retirement equivalent to the Superior Achievement Award (Bronze Medal).

2. Criteria. This award is for civilian employees whose careers reflect long and exceptional devotion to duty and extremely significant contributions to the economy,

4.C.2. (cont'd) efficiency, or other improvement in the operations of the Coast Guard. The career achievements on which the nomination is based should be either uniquely important projects and significant or recognized expertise in some phase of the Coast Guard's technical, professional, or administrative work. The award is appropriate for employees at any grade level or occupation (technical, professional, or administrative) who have completed a minimum of 20 years of creditable Federal service, at least five of which were in the career civil service with the Coast Guard.

3. Awardee Receives: An engraved plaque.

4. Nomination Procedures. Area and district commanders, commanders of maintenance and logistics commands, commanding officers of headquarters units, and chief of staff or office chiefs or special staff divisions in Headquarters should submit nominations at any time to Commandant (G-PC), via the servicing civilian personnel office that would include the following:

- a. Nominee's name, title, series, and grade of current position;
- b. Brief statement of current duties;
- c. Brief biographical sketch (personal, if available and appropriate, but primarily a career history);
- d. Listing of previous honors and awards; and
- e. Narrative (no more than two pages) of the nominee's career achievements which is sufficiently specific for a disinterested reviewer to conclude that the nominee does, in fact, merit such recognition.

5. Review. Nominations received by Commandant (G-PC) are reviewed for procedural compliance and adequacy of documentation and forwarded to the Commandant for approval. Since approval takes approximately 30 days following receipt by Commandant (G-PC), sufficient lead time should be provided. Approved awards are forwarded to the awardee's servicing civilian personnel officer unless other arrangements are requested.

D. Commander's Award for Civilian Service.

1. Award Summary. This Coast Guard honorary award gives commanding officers the opportunity to recognize individuals or groups for their achievements and contributions to the Coast Guard.

4.D.2. Criteria. Civilian employees at all grade levels are eligible to be recognized. Nominations should be based on one or more of the following:

- a. Supervisory or nonsupervisory duties performed in an outstanding manner, setting an example of achievement for others to follow;
- b. Demonstrated initiative and skill in devising new or improved equipment, work methods, and procedures, or for inventions that result in considerable savings in manpower, time, space, materials, or other items of expense, or improved safety or health of the work force;
- c. Demonstrated leadership in performing duties that resulted in improved productivity of the command, including customer focus and commitment to achieving excellence;
- d. Achievements or contributions in support of the Coast Guard's Equal Employment Opportunity (EEO) Program;
- e. Demonstrated courage or competence in an emergency while performing assigned duties resulting in benefit to the Federal Government;
- f. Employees who have established a pattern of excellence as recognized through the previous receipt of one or more honorary or monetary performance awards should be considered for this award;
- g. Retirement, separations, or long period of service shall not constitute a sufficient basis for conferring this award; and
- h. An individual who receives the Commander's Award for Civilian Service is not precluded from future receipt of the same award if any later consideration is based on a different achievement or service performed during a later period.

3. Awardee Receives. A Commander's Award for Civilian Service Certificate, Form CG-5514, shall be presented to the employee.

4. Nomination Procedures.

- a. Nominations should be processed by the employee's

4.D.4.a. (cont'd) supervisor through the chain of command to the approving official. A proposed citation, highlighting significant achievements, should accompany the nomination.

b. Nominations shall be reviewed by the servicing civilian personnel office for procedural compliance and adequacy of documentation. When the award certificate is completed and signed, the signatory official or designated official shall present the certificate in a way consistent with military award ceremonies in the command.

5. Approval Procedure. The civilian personnel office shall forward the nomination to the approval official. Nominations are approved by the area and district commanders, commanders of maintenance and logistics commands, commanding officers of headquarters units, and chief of staff or office chiefs and special staff divisions in Headquarters. These officials are authorized to redelegate this authority to subordinate managers and supervisors to the extent they deem appropriate.

E. Commander's Award for Sustained Excellence in the Federal Service.

1. Award Summary. Highest level award granted by area and district commanders, commanders of maintenance and logistics commands, and unit commanding officers to a select group of employees at retirement. This award is equivalent to the Commander's Award for Civilian Service.
2. Criteria. This award is appropriately granted to employees whose careers reflect long and exceptional devotion to duty and significant contributions to the efficiency, economy or other improvements in the operations of the Coast Guard. A pattern of sustained high performance, career achievements, and indications of innovative leadership of highly successful programs or projects which have impacted the nominee's command are examples that would warrant this award.
3. Awardee Receives. A Commander's Award for Sustained Excellence in the Federal Service Certificate.
4. Nomination Procedures. Nominations should be processed by the employee's supervisor through the chain of command, via the civilian personnel office, for approval.

4.E.4. (cont'd) The civilian personnel office shall review the nomination for procedural compliance and adequacy of documentation. When the nomination is approved, the certificate shall be presented to the award recipient in a way consistent with military award ceremonies in the command.

F. Awards in Support of Equal Employment Opportunity (EEO) and Work Force Diversity. Superior achievements in EEO and Work-Force Diversity activities may be recognized by nominations for the following awards: Secretary's Award for Meritorious Achievement, Secretary's Award for Achievements in Equal Employment Opportunity, Commandant's Superior Achievement Award (Bronze Medal), and the Commander's Award for Civilian Service. Examples of recipient criteria are as follows:

1. Supervisors. These are employees at all levels of supervision and management who clearly excel in promoting EEO within their organization. To be effective, recognition for superior accomplishments must be based on objective evidence which indicates that the supervisor has excelled in several of the following important job factors:
 - a. Motivating employees through encouragement and assistance to develop employee's full potential and utilize their skills to the maximum;
 - b. Achieving effective employee utilization;
 - c. Demonstrating sensitive treatment of all employees; and
 - d. Evidence of demonstrated commitment to all concerns of EEO and results-oriented affirmative action plan responsibilities.
2. Employees Whose Primary Job Responsibility Is Not in the EEO Area. These are employees whose work is not specifically in the EEO area, but who advance equal employment opportunity in the Coast Guard through superior accomplishments in training, recruitment, or other activity.
3. EEO Program Leaders. These are employees who have specific responsibilities for equal employment opportunity within the Coast Guard such as Civil Rights Officers, EEO Counselors, Federal Women's Program

4.F.3. (cont'd) Managers, or Hispanic Program Managers. Examples include providing career counseling to employees, providing effective resolution of employee discrimination complaints, development of EEO action plans, and achieving success in working in support of economic opportunity or other community action programs directed to advance equal opportunity in government.

G. Official Letters of Commendation are normally written and presented by an immediate supervisor for high quality performance of official duties such as extra effort, consistent devotion to duty, or above average accomplishment on a project, service to the customer, or public relations assignment. These letters may also be awarded by other supervisors when an employee has temporarily worked on another project or when a supervisor wishes to recognize special contributions by an employee of another organizational element. The original letter, presented to the employee, should state that a copy of the commendation will be filed as a permanent document in the employee's Official Personnel Folder (OPF).

H. Letters of Appreciation are informal letters normally from a supervisor to an individual employee or group of employees. These letters may also be presented by official Coast Guard committees or working groups. Letters of appreciation serve as morale builders, providing the supervisor and others with means of expressing appreciation for an employee's efforts on a particular project or performance under adverse conditions. They are not official awards and are not filed in the employee's OPF, although they may be placed in the employee's Employee Performance Folder (EPF).



CHAPTER 5. NON-DEPARTMENTAL HONORARY AWARDS

- A. Awards Summary. At various times during each year, Coast Guard is invited to nominate both civilian employees and military members for a variety of awards created by other Federal agencies and professional organizations. The publicity and honor given to the successful candidate reflect favorably not only on the recipient but on the Coast Guard, Department, and Federal service as well.
- B. Criteria. Criteria vary and are controlled by the granting organization. While nomination requirements, format, and deadlines change from year to year, these awards are usually granted on an annual basis with competition conducted nationwide.
- C. Nomination Procedures.
 - 1. Information on these awards will be distributed by Commandant (G-PC) at the beginning of each calendar year in a Coast Guard Honor Awards Planning Guide.
 - 2. Area, district, and commanders of maintenance and logistics commands, unit commanding officers, and office chiefs and special staff divisions in Headquarters should submit nominations to Commandant (G-PC), via the servicing civilian personnel offices. These officials are authorized to redelegate this authority to subordinate managers and supervisors to the extent they deem appropriate.
- D. Special Note. Since submission deadlines are often short, supervisors are encouraged to:
 - 1. Continually review the achievements of employees and, to the extent practicable, identify potential nominees in advance; and
 - 2. Maintain close liaison with the servicing civilian personnel office.



CHAPTER 6. SPECIAL ACT OR SERVICE AWARDS

- A. Introduction. This Chapter sets forth requirements for granting Special Act or Service Awards in recognition of individual or group effort which goes significantly beyond expected job performance as reflected on employee individual performance appraisals. The Special Act or Service Award is used to improve efficiency, economy, and effectiveness by motivating employees to increase productivity and creativity, and by rewarding their efforts.
- B. Special Act or Service Awards.
1. Definition. Special Act or Service Awards are monetary or nonmonetary awards that shall be granted for a contribution resulting in tangible or intangible benefits or services to the government. Contributions include accomplishments achieved through inventions, suggestions, or special acts or services which contribute to the efficiency, economy, or other improvements of government operations, increased customer satisfaction, or a significant reduction in paperwork.
 2. Criteria. Recognition by a Special Act or Service Award is appropriate when an employee or group of employees contribute substantially beyond expectations on a specific assignment or job function. The award is in addition to Performance Awards which recognize employee performance during the entire performance appraisal year and is based on the annual rating of record. Special Act or Service Awards are used to recognize exemplary efforts such as:
 - a. A nonrecurring contribution either within or outside of job responsibilities;
 - b. A scientific or technical achievement;
 - c. An act of heroism;
 - d. Disclosure of fraud, waste, or abuse; or
 - e. Increased services to the customer.
 3. Determining Extent of Job Responsibility. Special acts or services are often related to the employee's work. Being related to the employee's job, however, does not automatically mean that the contribution is part of the employee's job responsibilities. A contribution can be

6.B.3. (cont'd) considered to be within "job responsibility" if it falls within expected job performance requirements. Because of the close relationship that can exist between an employee contribution and normal job requirements, decisions frequently must be made to determine whether a contribution recommended for recognition goes beyond what normally is expected of the contributor.

4. Documentation Requirements. The supervisor shall prepare a brief but explicitly-written justification describing the superior accomplishments performed by the employee or group of employees. If a cash award is recommended, the justification must include a description of the tangible and/or intangible benefits derived from the contribution. Tangible or intangible benefits are calculated by application of the charts contained in enclosure (2) and enclosure (3).

5. Determining the Amount of Cash Award. If a Special Act or Service Award is to include cash, the amount of the award must be based on the value of the benefits received which may be either tangible, intangible, or a combination of both. Neither type of benefit is inherently of greater value than the other. Tangible and intangible benefits are calculated as follows:

a. Tangible Benefits. Every contribution must be reviewed to determine whether it will result in savings of time, personnel, materials, or equipment. If so, the estimated savings for the first full year of operation are calculated less the cost involved in implementing the contribution. The amount of the award is normally based on a reasonable estimate of these net tangible benefits for the first full year of operation. The estimated net tangible benefits total is applied to the Tangible Benefits Scale listed in enclosure (2).

b. Intangible Benefits. These are contributions the benefit of which cannot be measured directly in dollar savings but which provide better quality service to the public or assist the Coast Guard in accomplishing its mission in a more effective manner. The amount of the award is determined by the scope of the program affected by the contribution and its impact on that program. To estimate the acceptable cash award for a contribution with intangible benefits, supervisors should consider the length of

- 6.B.5. b. (cont'd) time the employee spent on the project, degree of complexity, etc. The Cash Award Scale for Intangible Benefits is in enclosure (3).

6. Relationship to Other Forms of Recognition. Special Act or Service Awards may be granted along with or in addition to performance awards granted to Performance Management and Recognition (PMRS) and Performance Management System (PMS) employees, and a Quality Step Increase to PMS employees. However, when an award is made for an accomplishment within job responsibilities, the contribution must not have been recognized for performance-related awards under PMRS and PMS. The act or service must have been nonrecurring and have significantly exceeded normal job expectations.
7. Group Awards. When a contribution has been made by a group of employees, all contributing employees, including supervisors, may share in the award to the extent the contribution has not been recognized by a PMRS, PMS, or Senior Executive Service (SES) performance appraisal-related award. The cash award granted may be made in equal shares to each employee in the group or in proportion to their personal contribution to the achievement.
8. Time Limits. For fairness, maximum employee motivation and confidence, it is important that the award process function be done quickly and efficiently. Nominations should be submitted whenever appropriate, but no later than 90 days after the act or achievement which merits the award.
9. Nomination Procedures.
 - a. The award justification shall be forwarded to the civilian personnel staff for regulatory review prior to submission to the approving official. Nominations which are disapproved, or for which a lower or higher cash value is approved, will be returned with an explanation to the originator.
 - b. A proposed citation highlighting significant achievements should accompany the nomination.
 - c. The Commander's Award for Civilian Service may be given with the Special Acts.

6.b.10. Approval Authorities.

- a. Area, district and commanders of maintenance and logistics commands, unit commanding officers, and the chief of staff, office chiefs and special staff divisions in Headquarters may approve a cash award up to \$5,000. This may be redelegated to subordinate managers and supervisors but no lower than two supervisory levels above the recommending official.
 - b. Nominations for cash awards in excess of \$5,000 must be forwarded to Commandant (G-PC) for review by an incentive awards board.
 - c. Nominations for cash awards in excess of \$10,000 and up to \$25,000 must be forwarded by Commandant (G-PC) to the Office of Personnel Management (OPM) via the Department for approval.
11. Repeat Awards. Repeat awards are discouraged and care must be taken to ensure that they are not automatically granted. Reviewing and approving officials, and other managers should be alert to and take action to correct patterns of repetitive nominations. They should ensure that the same level of performance is not unjustifiably rewarded, and that awards are not inappropriately being used as compensation for lack of promotion opportunities, rewards for long and faithful service, etc.
12. Presentation. Awards shall be presented to recipients at appropriate ceremonies as soon as practicable after approval. In addition, publicity should also be given consistent with local command procedures.

C. On-The-Spot Cash Awards.

1. Definition. Supervisors and employees are faced with ever-increasing work load demands due to changing priorities, technological breakthroughs, and a need to get more done with less. Employees often help by taking on extra projects or proposing new ideas that have an immediate benefit to their office's ability to get the job done. To recognize an extra work effort, supervisors are authorized to grant On-The-Spot cash awards as a form of special recognition.
2. Eligibility. Employees may receive more than one On-The-Spot cash award, not to exceed \$400, in a 12-month period. The contribution must have not been previously recognized by a performance award.

6.C.3. Amount of Award. The maximum amount receivable for any one award shall be \$200.

4. Justification. The supervisor shall prepare a brief but explicit written justification which shall be forwarded to the civilian personnel office for regulatory review and processing.
5. Approval Authority. First level supervisors may approve On-The-Spot cash awards.



CHAPTER 7. TIME OFF AS AN INCENTIVE AWARD

- A. Introduction. This Chapter sets forth new requirements for granting time off without loss of pay or charge to leave in recognition of superior accomplishments, or other personal efforts that contribute to the quality, efficiency, or economy of government operations.
- B. Time Limits. The award process must function quickly and efficiently in order to recognize deserving employees for their accomplishments. Nominations should be submitted whenever appropriate, but no later than 120 days after the act or achievement which merits the award.
- C. Basis for Time-Off Awards. In determining the amount of time off to be granted as a time off award, consideration must be given to the benefits realized by the Coast Guard from the employee's contribution. The criteria to be used in determining the amount of time off to be granted may be compared to the amount of an intangible cash award as identified in enclosure (3) of this instruction. For example, the following comparison may be used:

Benefit of <u>Moderate</u> Value:	Up to 1-9 hours time off
Benefit of <u>Substantial</u> Value:	Up to 10-19 hours time off
Benefit of <u>High</u> Value:	Up to 20-29 hours time off
Benefit of <u>Exceptional</u> Value:	30 plus hours time off

- D. Type of Achievement to Recognize for Time Off Awards. A wide variety of employee contributions may be recognized by means of a time off award. Time off awards are used principally to recognize contributions that are of a one-time, non-recurring nature. However, time off awards may also be used to recognize sustained high-level performance. In doing so, time off awards are not to be used as a substitute for performance awards. In determining whether time off awards are appropriate, supervisors should consider such factors as whether the employee may be spared from the job, whether the employee already has a large amount of annual leave credited to his or her account, and other issues bearing on granting this form of recognition. Examples of employee achievement that might be considered for such a time off award include but are not limited to include:
1. Making a high quality contribution involving a difficult or important project or assignment;
 2. Displaying special initiative and skill in completing an assignment or project before the deadline;

- 7.D.3. Using initiative and creativity in making improvement in a product, activity, program or service; and
4. Ensuring the mission of the unit is accomplished during a difficult period by successfully completing additional work or a project assignment while maintaining the employee's own workload.
- E. Inappropriate Use of Time Off Awards. Time off as an incentive award is not intended to be used as a form of excused absence (commonly referred to as administrative leave) for such reasons as group dismissals, picnics, parties, etc.
- F. Time Off Award Conditions.
1. Full-Time Employees. A full-time employee may be granted a time off award in amounts of up to a maximum of 40 hours of time off from duty as an incentive award for any single contribution. The total amount of time off an employee may be granted during any one leave year is 80 hours.
2. Part-Time Employees. Part-time employees or employees with an uncommon tour of duty will have the average number of hours of work in the employee's biweekly scheduled tour of duty used to establish the leave year maximum limitation with one-half this determined amount identified as the limit for any single contribution. For example, an employee with a part-time tour of 32 hours a week may receive 64 hours in one leave year, with a single award maximum of 32 hours.
- G. Scheduling of Time Off Award. Time off granted under this authority must be scheduled and used within one year from the date the award was granted under the following conditions:
1. The use of time off granted shall be subject to initial approval by the employee's immediate supervisor.
2. When physical incapacitation for duty occurs during a period of time off, sick leave may be granted for the period of incapacitation. In this situation, the time off usage deadline is extended during the period of sick leave use.
3. A time off award does not convert to cash under any circumstances.

- 7.G.4. Attention should be given to assuring that time off granted will not negatively impact employees credited with large amounts of annual leave carry-over.

H. Approval Authority for Time Off Awards.

1. The Chief of Staff and office chiefs in Headquarters, area and district commanders, commanders of maintenance and logistics commands, and commanding officers of Headquarters units are delegated authority to approve time off awards. These officials are authorized to redelegate authority for managers and supervisors to approve up to 19 hours of time off.
2. If redelegated, first level supervisors may approve a maximum of one day off without further review. For periods of more than one work day, the decision to grant a time off award and the amount of such award must be reviewed and approved by an official who is at a higher level than the official who made the initial decision, unless there is no official at a higher level in the command.
3. Nominations for time off awards shall be reviewed by the servicing civilian personnel office for procedural compliance and adequacy of documentation. Upon completion, the civilian personnel office shall forward the nomination to the approval official.

I. Documentation For Time Off Awards.

1. All time off awards must be recommended and justified in writing. For time off awards of up to 18 hours time off, a brief but explicit written justification shall be prepared describing the employee's contribution(s).
2. For awards exceeding 18 hours, the written justification shall be in sufficient detail and must:
 - a. State the name and position of the employee;
 - b. Describe how the employee met the required criteria (e.g., give examples of the employee's achievement and performance);
 - c. Justify and state the number of hours of time off granted by describing the benefits realized by the Coast Guard from the employee's contribution;

- 7.I.2.d. Explain why a time off award is justified above any increases in basic pay and/or performance award; and
- e. Indicate whether the employee previously received a time off award during the same leave year and, if so, the date of the award and how many hours were granted.
- J. Personnel Action. The amount of time granted shall be documented on a Standard Form 50 to be retained in the employee's Official Personnel Folder.
- K. Merit Promotion. Due weight shall be given to time off awards as an incentive award when rating and ranking an employee for promotion.

CHAPTER 8. CAREER SERVICE AND RETIREMENT RECOGNITION

A. Service Emblems.

1. The Coast Guard uses the Department of Transportation service emblems which are awarded to employees in recognition of their creditable service with the Federal Government. That service need not be continuous, and should include all honorable military service, as well as service in other agencies.
2. Service emblems are granted at 5, 10, 15, 20, 25, 30, 35, 40, 45, and 50 years of service and are available as lapel pins. An initial supply of the service emblems are stocked at Commandant (G-PC).
3. Service emblems, particularly those for service of 25 years or more, should be presented with appropriate ceremony.

- B. Retirement Certificates. Employees retiring under the Civil Service or Lighthouse Service Retirement Systems are eligible to receive a retirement certificate signed by the Commandant. These are stocked locally by servicing civilian personnel offices. The certificates may be framed or laminated at local expense, and should be presented to the retiree with suitable ceremony.



CHAPTER 9. PRESIDENTIAL AWARDS

A. Introduction. This Chapter describes the general criteria and nomination procedures for Presidential Awards. More detailed selection criteria and documentation requirements for the awards are outlined in Chapter 451, Subchapter 5 of the Federal Personnel Manual. All nominations must be reviewed by the Commandant, the Secretary, and the Director of the Office of Personnel Management prior to approval by the President. Servicing civilian personnel offices are available to provide detailed information regarding these awards.

B. Types of Recognition.

1. President's Award for Distinguished Civilian Service. This Presidential award is the highest honorary award granted under the Federal Incentive Awards Program in recognition of unusual benefits to the nation, and it is given to no more than five individuals each year. The awardee receives a gold medal, a lapel rosette made from the medal neck ribbon, and a citation signed by the President. The Director of the Office of Personnel Management requests nominations each year and advises the President in selecting persons to receive this award.
2. Presidential Letter of Commendation. These letters of commendation can be authorized for inventions, suggestions, or special achievements beyond job requirements that have resulted in tangible benefits to the government of \$250,000 or more. All civilian and military personnel, including individuals, small working groups, teams or task forces are eligible for nomination. Awardees receive a letter of commendation signed by the President.
3. Presidential Management Improvement Awards. These are honorary awards granted by the President to individuals, small working groups and teams for accomplishments resulting in substantial tangible benefits to the government of \$250,000 or more, or for exceptional achievements in an area of high Presidential interest. Nominees must have received or have been recommended for a Presidential Letter of Commendation at the time of nomination. Military personnel are eligible for nomination. Requests for nominations usually occur annually in October. Awardees receive an engraved bronze plaque or a certificate signed by the President.



OPM Form 1465
(5/81)
Supersedes SF69
FPM Supp. 451-1
(5 CFR 451.205 and 540.109)

U.S. Office of Personnel Management
**INCENTIVE AWARDS PROGRAM
ANNUAL REPORT**

Name of Reporting Agency										Fiscal Year		
Name of Individual Completing Report										Telephone Number (Including Area Code)		
Part A - Performance Recognition												
a. Special Achievement Award												
1. Monetary Recognition for Individuals		(1) Sustained Superior Performance				(2) Special Act or Service				b. Quality Step Increase		c. Population
Group/Step Map	Number Granted	Amount Paid in Awards	Tangible Benefits	Number With Tang. Benefits	Number Granted	Amount Paid in Awards	Tangible Benefits	Number With Tang. Benefits	Number Granted	No. of Eligible Employees	No. of Employees in Agency	
GS 1-6 or Equivalent												
GS 7-12 or Equivalent												
GS 13-15 or Equivalent												
GS 16 & Above or Equiv.												
TOTAL GS & EQUIV.												
PMRS GM 13												
PMRS GM 14												
PMRS GM 15												
Wage Grade												
Wage Leader												
Wage Supervisor												
TOTAL WAGE GRADES												
TOTAL ALL PAY PLANS												
Part A - Performance Recognition - Continued												
2. Monetary Recognition For Groups												
a. No. of group awards granted					a. No. on hand at beginning of FY				a. No. of disclosure awards			
b. No. of persons involved					b. No. of suggestions received				b. Amount paid in awards			
c. Amount paid in awards					c. TOTAL (a + b)				c. No. of patent awards			
d. Tangible benefits					d. No. adopted during FY				d. Amount paid in patent awards			
e. No. of awards based on tangible benefits					e. No. disapproved during FY				e. Tangible benefits			
					f. No. pending at end of FY				f. No. with tangible benefits			
					g. TOTAL (d + e + f)				Part D - Interdepartmental Referral of Contributions			
3. Honorary Recognition					1. No. of suggestions referred							
a. No. of awards granted					a. No. adopted							
b. No. of employees involved					b. Amount paid in awards							
c. Tangible benefits					c. Tangible benefits							
d. No. of awards based on tangible benefits					2. No. of Spec. Acts/Serv. referred							
e. Amount paid in awards					a. No. approved							
4. Non-Monetary Recognition					b. Amount paid in awards							
a. No. of awards granted					c. Tangible benefits							
b. No. of employees involved					Part E and F Continued On Reverse							
c. Tangible benefits					For OPM Use Only							
d. No. of awards with tangible benefits												
For OPM Use Only												
Name (Typed) and Signature of Agency Head					Title				Date Signed			



Cash Awards Scale
Tangible Benefits

Estimated First Year
Benefits to Government

Amount of Award

To \$10,000

10% of benefit

\$10,001 to \$100,000

\$1,000 for first \$10,000
plus 3% of benefits in
excess of \$10,000.

\$100,000 or more

\$3,700 for first \$100,000
plus 0.5% of benefits
in excess of \$100,000.



CASH AWARDS SCALE FOR INTANGIBLE BENEFITS

Value of Benefit	Extent of Application			
	Limited	Extended	Broad	General
	Affects functions, mission, or personnel of one office, facility, installation, or an organizational element of a headquarters. Affects a small area of science or technology.	Affects functions, mission, or personnel of several offices, facilities, or installations. Affects an important area of science or technology.	Affects functions, mission, or personnel or an entire regional area of command. May be applicable to all of an independent agency or a large bureau. Affects a broad area of science or technology.	Affects functions, mission, or personnel of several regional areas or commands, or an entire department or large independent agency, or is in the public interest throughout the Nation or beyond.
MODERATE VALUE— Change or modification of an operating principle or procedure which has moderate value sufficient to meet the minimum standard for a cash award; an improvement of rather limited value of a product, activity, program, or service to the public.	\$100-200	\$200-300	\$300-500	\$500-1000
SUBSTANTIAL VALUE— Substantial change or modification of an operating principle or procedure; an important improvement to the value of a product, activity, program, or service to the public.	\$200-300	\$300-500	\$500-1000	\$1000-2,500
HIGH VALUE— Complete revision of a basic principle or procedure; a highly significant improvement to the value of a product, major activity, or program, or service to the public.	\$300-500	\$500-1000	\$1000-2,500	\$2,500-5,000
EXCEPTIONAL VALUE— Initiation of a new principle or major procedure; a superior improvement to the quality of a critical product, activity, program, or service to the public.	\$500-1000	\$1000-2,500	\$2,500-5,000	\$5,000-10,000

(45) 11/28

